



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

sector \$

IN PATENT APPLICATION of

Inventor Catherine Guenther

Appln. No.: 09/895,840

Filed: June 28, 2001

Title: Transgenic Mice Containing RORy Gene Disruptions

Order/Docket No. R-409

Deposit Account No. 50-1271

Customer No. 26619

Date: October 24, 2001

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. ☒ Enclosed is a copy of the Notice to File Missing Parts.
2. ☒ Signed Declaration enclosed: ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
4. ☒ Enclosed is the sequence listing on paper and a diskette containing said sequence listing.
5. ☒ Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR 1.821.
6. ☒ Applicants hereby claim "small entity" status.

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

7. Basic Filing Fee .....	\$370.	\$	\$370.00	201			
8. Total Claims	58	minus 20 =	38	x 9.	+	342.00	203
9. Independent Claims	16	minus 3 =	13	x 42.	+	546.00	202
10. Multiple Dependent Claims				140.	+	140.00	
11. Surcharge for filing Declaration/filing fee late				65.	+	65.00	205
12. FILING FEE: <input type="checkbox"/> CHARGE AUTHORIZATION <input checked="" type="checkbox"/> ENCLOSED =					\$	1463.00	
13. Original due date: <b>October 30, 2001</b>							
14. Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55. / 195. 445. / 695.		.00	
15. If Assignment is included, add recording fee .....				\$ 40.	+	40.00	581
16. TOTAL FEE (enclosed): =						\$1503.00	

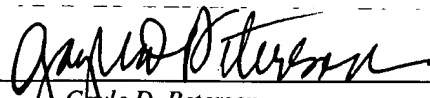
**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

DELTAGEN, INC.

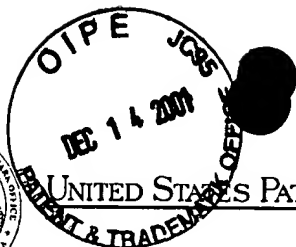
740 Bay Road  
Redwood City, CA 94063  
Tel: (650) 569-5168  
Fax: (650) 569-5568

  
Mariette A. Lapiz, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on **October 24, 2001**.

  
Gayle D. Peterson

R-409



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/895,840	06/28/2001	Catherine Guenther	R-409

CONFIRMATION NO. 4993

## FORMALITIES LETTER



\*OC000000006495016\*

DELTAGEN, INC.  
1003 Hamilton Avenue  
Menlo Park, CA 94025

Date Mailed: 08/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

12/17/2001 HNDOR1 00000043 09895840

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:203	342.00 OP
03 FC:202	546.00 OP
04 FC:205	65.00 OP
05 FC:204	140.00 OP

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$979.
  - \$324 for 36 total claims over 20.
  - \$520 for 13 independent claims over 3.
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1399.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);